



JCOS Rec'd PCT/PW 04 AUG 2005

Attorney Docket No. 62940 (70904)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S) Nakabayashi, et al. EXAMINER: Not assigned

U.S.S.N.: 10/525,901 ART UNIT: 2811

FILED: February 24, 2005 CONF. NO. 9196

FOR: Pattern formation substrate and method for pattern formation

CERTIFICATE OF MAILING

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service with sufficient postage as First Class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on August 1, 2005.

By: *Helen Murray Tarbi*
Helen Murray Tarbi

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

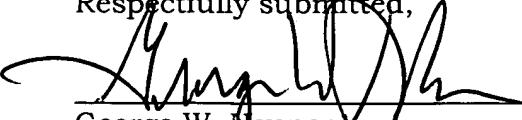
TRANSMITTAL

Enclosed herewith for filing in the subject application are the following:

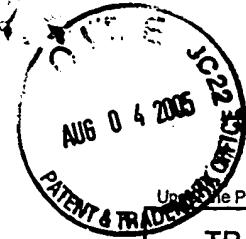
1. Copy of Filing Receipt with corrections marked in red;
2. Copy of Certificate of Express Mailing;
3. Copy of Express Mailing Label with USPTO stamped receipt;
4. Copy of Transmittal Letter; and
5. Copy of Fee Transmittal.

Date: August 1, 2005

Respectfully submitted,


George W. Neuner
(Reg. No. 26,964)
EDWARDS & ANGELL, LLP
P.O. Box 55874
Boston, MA 02205

Telephone: 617-439-4444
Customer No. 21874



PTO-1390 (Rev. 12-2004)

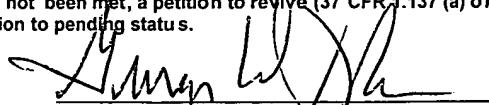
Approved for use through 03/31/2007. OMB 0651-0021

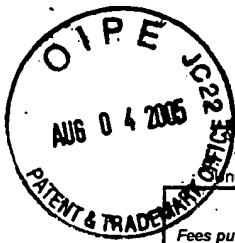
U. S. Patent and Trademark Office; U. S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371		ATTORNEY'S DOCKET NUMBER 62940(70904)
INTERNATIONAL APPLICATION NO.	INTERNATIONAL FILING DATE	PRIORITY DATE CLAIMED
PCT/JP03/07170	5 June 2003	30 August 2002
TITLE OF INVENTION PATTERN FORMATION SUBSTRATE AND METHOD FOR PATTERN FORMATION		
APPLICANT(S) FOR DO/EO/US Takaya Nakabayashi et al.		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
<p>1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a submission under 35 U.S.C. 371.</p> <p>2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a submission under 35 U.S.C. 371.</p> <p>3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371 (f)). The submission must include items (5), (6), (9) and (21) indicated below.</p> <p>4. <input type="checkbox"/> The US has been elected (Article 31).</p> <p>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c)(2)) <ul style="list-style-type: none"> a. <input checked="" type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). b. <input checked="" type="checkbox"/> has been communicated by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). </p> <p>6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371 (c)(2)) <ul style="list-style-type: none"> a. <input checked="" type="checkbox"/> is attached hereto. b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). </p> <p>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3)) <ul style="list-style-type: none"> a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input checked="" type="checkbox"/> have not been made and will not be made. </p> <p>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).</p> <p>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).</p> <p>10. <input type="checkbox"/> An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).</p>		
Items 11 to 20 below concern document(s) or information included:		
<p>11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</p> <p>12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</p> <p>13. <input type="checkbox"/> A preliminary amendment.</p> <p>14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.</p> <p>15. <input type="checkbox"/> A substitute specification.</p> <p>16. <input type="checkbox"/> A power of attorney and/or change of address letter.</p> <p>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.</p> <p>18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4).</p> <p>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</p> <p>20. <input checked="" type="checkbox"/> Other items or information: Return Receipt Postcard</p>		

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

U.S. APPLICATION NO.		INTERNATIONAL APPLICATION NO. PCT/JP03/07170		ATTORNEY'S DOCKET NUMBER 62940(70904)	
21. The following fees are submitted:					
<input checked="" type="checkbox"/> a) Basic national fee \$300.00 <input checked="" type="checkbox"/> b) Examination fee \$200.00 <input checked="" type="checkbox"/> c) Search fee \$500.00				Applicant Use	Office Use Only
				\$ 300.00	
				\$ 200.00	
				\$ 500.00	
TOTAL OF ABOVE CALCULATIONS = \$1000.00				\$ 1,000.00	
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra sheets	Number of each additional 50 or fraction thereof (round up to a whole number)		RATE	
47 - 100 =	/50 =			x \$250.00	
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).					
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	11 - 20 =		x	\$ 0.00	
Independent claims	1 - 3 =		x	\$ 0.00	
MULTIPLE DEPENDENT CLAIM(s) (if applicable)			+	\$ 360.00	\$ 360.00
			TOTAL OF ABOVE CALCULATIONS = \$ 1,360.00		
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by ½.					
SUBTOTAL = \$ 1,360.00					
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).					
TOTAL NATIONAL FEE = \$ 1,360.00					
Fee for recording the enclosed assignment (37 CFR 1.21 (h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property					
TOTAL FEES ENCLOSED = \$ 1,400.00					
Amount to be refunded:					
Amount to be charged:					
a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed. b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. 04-1105 in the amount of \$ 1,400.00 to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 04-1105. A duplicate copy of this sheet is enclosed. d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.					
NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the International Application to pending status.					
SEND ALL CORRESPONDENCE TO:					
George W. Neuner EDWARDS & ANGELL, LLP P.O. Box 55874 Boston, Massachusetts 02205 (617) 439-4444 CUSTOMER NUMBER: 21874					
 SIGNATURE: _____ NAME: _____ 26,964 REGISTRATION NUMBER: _____					



Under the Paperwork Reduction Act of 1995, no person are required to respond to a collection of information unless it displays a valid OMB control number.

Effective on 12/08/2004.

Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).

FEE TRANSMITTAL For FY 2005

Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 1,400.00)

Complete if Known

Application Number	Not Yet Assigned
Filing Date	Concurrently Herewith
First Named Inventor	Takaya Nakabayashi
Examiner Name	Not Yet Assigned
Art Unit	N/A

Attorney Docket No. 62940(70904)

METHOD OF PAYMENT (check all that apply)

Check Credit Card Money Order None Other (please identify): _____

Deposit Account Deposit Account Number 04-1105 Deposit Account Name Edwards & Angell, LLP

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

Charge fee(s) indicated below Charge fee(s) indicated below, except for the filing fee
 Charge any additional fee(s) or underpayment of fee(s) under 37 CFR 1.16 and 1.17 Credit any overpayments

FEE CALCULATION

1. BASIC FILING, SEARCH, AND EXAMINATION FEES

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fees Paid (\$)
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

2. EXCESS CLAIM FEES

Fee Description

Fee Description	Small Entity Fee (\$)	Fee (\$)
Each claim over 20 (including Reissues)	50	25
Each independent claim over 3 (including Reissues)	200	100
Multiple dependent claims	360	180

Total Claims	Extra Claims	Fee (\$)	Fee Paid (\$)	Multiple Dependent Claims	
11	- 20 =	x	=	Fee (\$)	Fee Paid (\$)
1	- 3 =	x	=		

3. APPLICATION SIZE FEE

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

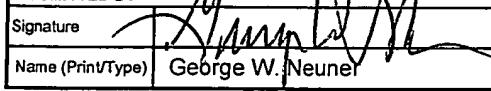
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof	Fee (\$)	Fee Paid (\$)
47	- 100 =	/50 (round up to a whole number) x	=	

4. OTHER FEE(S)

Non-English Specification, \$130 fee (no small entity discount)

Other (e.g., late filing surcharge):	1631 Basic National Stage fee	300.00
	1632 National Stage search fee	500.00
	1633 National Stage examination fee	200.00
	8021 National Stage recording each patent assignment, ...	40.00
	1616 National Stage claims - multiple dependent	360.00

SUBMITTED BY

Signature		Registration No. (Attorney/Agent)	26,964	Telephone	(617) 439-4444
Name (Print/Type)	George W. Neuner		Date	February 24, 2005	



Docket No. 62940 (70904)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Nakabayashi, et al. EXAMINER: Not assigned
U.S.S.N. 10/525,901 ART UNIT: 2811
FILED: February 24, 2005 CONF. NO. 9196
FOR: Pattern formation substrate and method for pattern formation

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

CERTIFICATE OF MAILING

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service with sufficient postage as First Class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on August 1, 2005.

By: *Helen Murray Tarbi*
Helen Murray Tarbi

REQUEST FOR CORRECTED FILING RECEIPT

1. There is an error with respect to the following data, which is:

incorrectly entered

and/or

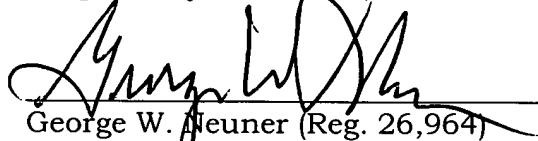
omitted.

Error in		Correct data
1. <input type="checkbox"/>	Applicant's name	1.
2. <input type="checkbox"/>	Applicant's address	2.
3. <input checked="" type="checkbox"/>	Title	3. pattern formation substrate and method for pattern formation
4. <input checked="" type="checkbox"/>	Filing Date	4. February 24, 2005
5. <input type="checkbox"/>	Application Number	5.
6. <input type="checkbox"/>	Priority Data	6.

2. *(complete the following applicable item)*

A. The correction(s) is/are not due to any error by applicant.

Respectfully Submitted,

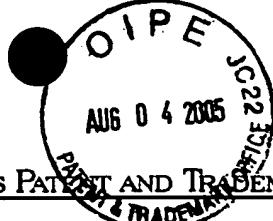


George W. Neuner (Reg. 26,964)
EDWARDS & ANGELL, LLP
P.O. Box 55874
Boston, MA 02205
(617) 439-4444

Customer No.: 21874

BOS2_501677.1

DGC 6WN
62940 (70904)



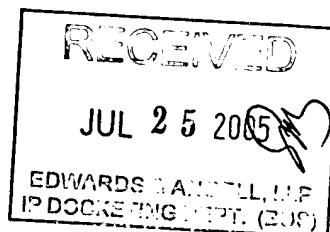
UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY.DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/525,901	02/25/2005	2811	1260	62940(70904)	18	8	1

2/24/05

21874
EDWARDS & ANGELL, LLP
P.O. BOX 55874
BOSTON, MA 02205



CONFIRMATION NO. 9196

FILING RECEIPT



OC000000016528224

Date Mailed: 07/18/2005

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Takaya Nakabayashi, Ayama-gun, JAPAN;
Akiyoshi Fujii, Nara-shi, JAPAN;

NOTED ON SYSTEM

Power of Attorney: The patent practitioners associated with Customer Number 21874.

Domestic Priority data as claimed by applicant

This application is a 371 of PCT/JP03/07170 06/05/2003

Foreign Applications

Projected Publication Date: 10/20/2005

Non-Publication Request: No

Early Publication Request: No

Title

Pattern formation substrate and method of pattern formation

FOR

Preliminary Class

Corrected Filing Receipt
Edwards & Angell LLP
101 Federal St. Boston, MA 02110
Docketed For 62940-317105
By SB/SL
Approved SB/SL

PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process simplifies the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

LICENSE FOR FOREIGN FILING UNDER Title 35, United States Code, Section 184 Title 37, Code of Federal Regulations, 5.11 & 5.15

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



6 TRAD Application No. (if known): Not Yet Assigned

Attorney Docket No.: 62940(70904)

Certificate of Express Mailing Under 37 CFR 1.10

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail, Airbill No. EV 492337954 US in an envelope addressed to:

MS PCT
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

on February 24, 2005
Date


Signature

Helen Murray Tarbi

Typed or printed name of person signing Certificate

Registration Number, if applicable

(617) 439-4444
Telephone Number

Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.

Fee Transmittal (1 page)
English language translation of the International application
Oath or declaration of the inventor(s)
Information Disclosure Statement
Assignment document for recording
Transmittal Letter to the United States Designated-Elected Office (2 pages)
Charge \$1,400.00 to deposit account 04-1105



Atty Docket No.: 62940(70904)

Inventor: Takaya Nakabayashi et al.

Application No.: Not Yet Assigned
Title: PATTERN FORMATION SUBSTRATE AND METHOD FOR PATTERN FORMATION

Documents Filed:

Fee Transmittal (1 page)

Charge \$1,400.00 to deposit account 04-1105

English language translation of the International application

Oath or declaration of the inventor(s)

Information Disclosure Statement

Assignment document for recording

Transmittal Letter to the United States Designated-Elected Office (2 pages)

Certificate of Express Mailing (1 page)

Via: Express Mail: Airbill No. EV 492337954 US

Sender's Initials: GWN/hmt

Date: February 24, 2005

Customer Copy
Label 11-F June 2002

EV 492337954 US

UNITED STATES POSTAL SERVICE

EXPRESS MAIL

STA BOSTON MA 02205 Post Office To Addressed

DELIVERY (POSTAL USE ONLY)

PO ZIP Code 02205	Day of Delivery Next <input type="checkbox"/> Second <input checked="" type="checkbox"/>	Flat Rate Envelope <input type="checkbox"/>
Date 2/24/05 Mo. Day Year	Postage \$2105	Return Receipt Fee
Time In 1:20 AM <input type="checkbox"/> PM <input checked="" type="checkbox"/>	Military <input type="checkbox"/> 2nd Day <input type="checkbox"/> 3rd Day	COD Fee <input type="checkbox"/> Insurance Fee <input type="checkbox"/>
Weight 2.07 lbs ozs.	Int'l Alpha Country Code	Total Postage & Fees \$2105
No Delivery <input type="checkbox"/> Weekend <input type="checkbox"/> Holiday	Acceptance Clerk Initials (niv)	

WAIVER OF SIGNATURE (Domestic Only) Additional merchandise insurance is void if waiver of signature is requested. I wish delivery to be made without obtaining signature of addressee or addressee's agent if delivery employee judges that article can be left in secure location and I authorize that delivery employee's signature constitutes valid proof of delivery.

NO DELIVERY Weekend Holiday

Federal Agency Acct. No. or
Postal Service Acct. No.

TO: (PLEASE PRINT)
PCT

MAIL STOP
COMMISSIONER FOR PATENTS
PO BOX 1450
ALEXANDRIA
VA 22313-1450

FROM: (PLEASE PRINT)
EDWARDS, S. ANGELL, LLP
PO BOX 55874
MA 02205-5874
BOSTON

PHONE ()

PHONE ()

GWN 62940 (70904)